

Attorney Docket No.: <u>SSI-00700</u>

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re A	application of:	Group Art Unit: 1763		
Maxin	nilian A. Biberger et al.	Examiner: Ram N. Kackar		
Serial	No.: 09/704,641	TRANSMITTAL LET	<u>ler</u>	
Filed:	November 1, 2000) 162 N. Wolfe Road Sunnyvale, CA 94086		
For:	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE	(408) 530-9700 Customer No.: 28960	RECEIVED OCT 0 8 2003	
Comm	nissioner for Patents)	TC 1700	

Sir:

P.O. Box 1450 Alexandria, VA 22313

Enclosed please find a Supplemental Information Disclosure Statement and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

You will also find enclosed the associated Transmittals, Electronic Information Disclosure Statements, and United States Patent and Trademark Office Acknowledgment Receipts for the electronically filed Information Disclosure Statement (EFS ID #48631); (EFS ID #48632); (EFS ID #48633); and (EFS ID #48634) filed on October 1, 2003.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. <u>08-1275</u>. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted, HAVERSTOCK & OWENS LLP

Dated: 10/1/03

Thomas B. Haverstock Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

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Date: 101-03 By:



Attorney Docket No.: SSI-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Group Art Unit: 1763
Maximilian A. Biberger et al.	Examiner: Ram N. Kackar
Serial No.: 09/704,641	SUPPLEMENTAL INFORMATION
Filed: November 1, 2000	DISCLOSURE STATEMENT 162 N. Wolfe Road
For: METHOD AND APPARATUS FOR	Sunnyvale, CA 94086
SUPERCRITICAL PROCESSING OF A WORKPIECE	(408) 530-9700 RECEIVED
Commissioner for Patents	OCT 0 8 2003
P.O. Box 1450	TO 4700
Alexandria, VA 22313	TC 1700

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

United States Patents or Published Patent Applications have been filed electronically (EFS ID #48631); (EFS ID #48632); (EFS ID #48633); and (EFS ID #48634). Applicants have become aware of the following printed publication which may be material to the examination of this application:

- Chinese Publication No. CN 1399790 A;
- German Publication No. DE 36 08 783 A1;
- German Publication No. DE 198 60 084 A1;
- European Publication No. EP 0 453 867 A1;
- European Publication No. EP 0 587 168 A1;
- European Publication No. EP 0 679 753 B1;
- European Publication No. EP 0 903 775 A2;
- French Publication No. FR 1 499 491;
- Great Britain Publication No. GB 2 003 975;
- Japanese Patent Abstract JP 2-209729;

PATENT

Attorney Docket No.: SSI-00700

Japanese Patent Abstract JP 10-335408; Japanese Patent Abstract JP 11-200035;

- Swiss Publication No. SE 251213;
- PCT Publication No. WO 00/36635;
- PCT Publication No. WO 01/10733 A1;
- PCT Publication No. WO 01/33615 A3;
- PCT Publication No. WO 01/55628 A1;
- PCT Publication No. WO 01/68279 A2;
- PCT Publication No. WO 01/74538 A1;
- PCT Publication No. WO 01/78911 A1;
- PCT Publication No. WO 01/85391 A2;
- PCT Publication No. WO 01/94782 A3;
- PCT Publication No. WO 02/16051 A2;
- PCT Publication No. WO 03/030219 A2:
- Joseph L. Foszcz, "Diaphragm Pumps Eliminate Seal Problems", Plant Engineering, pp. 1-5, February 1, 1996; and
- Bob Agnew, "WILDEN Air-Operated Diaphragm Pumps", Process & Industrial Training Technologies, Inc., 1996.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,

HAVERSTOCK & OWENS LLP

Dated: 10 -

Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.6(g))

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- 2 -

U.S. Department of Commerce Patent and Trademark Office

Attorney Docket No.: SSI-00700

Serial No.:09/704,641

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFP \$ 1.99(b)) Applicants: Maximilian A. Biberger et al. Filing Date: November 1.2000. Group Art III									
(37 CFR § 1.	98(b))	WAT & THANKS	o ii irecessaly)		Filing Date: Novemb	er 1, 2000	Group Art Un	it: 1763	
			FOREIGN PATENTS	OR PUBLISHED FOI	REIGN PATENT APPL				
		Document D. W. C. D. C.				Trans	slation		
	<u> </u>	Document Number	Publication Date	Country	/ Patent Office	Class	Subclass	Yes	No
	AA/	CN 1399790 A	02/26/03		China	H01L	21/00		х
	AB	DE 36 08 783 A1	09/17/87	G	ermany	C30B	25/12		х
	AC/	DE 198 60 084 A1	07/06/00	G	ermany	HOIL	21/3213		x
	AD /	EP 0 453 867 A1	10/30/91		EPO	F16K	51/02		х
•	AE/	EP 0 587 168 A1	03/16/94		EPO	B08B	7/00		х
	AF	EP 0 679 753 B1	11/02/95		EPO	D06F	43/00		х
•	AG /	EP 0 903 775 A2	03/24/99		EPO	H01L	21/00		х
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	AJ	/ JP 2-209729	8/21/90		Japan	H01L	21/302		x
•	AK	JP 10-335408	12/18/98		Japan	H01L	21/31	Х	
	AĿ/	JP 11-200035	07/27/99		Japan	C23C	14/34		х
	AM /	SE 251213	08/16/48		Swiss	100a			х
	AN /	WO 00/36635	06/22/00		PCT	HOIL	21/00		х
	AO /	, WO 01/10733 A1	2/15/01		PCT	B65D	55/00		х
	AP.	, WO 01/33615 A3	5/10/01		PCT	HOIL	21/00		х
	AQ	WO 01/55628 A1	08/02/01		PCT	F16K	51/02		х
	AR	/WO 01/68279 A2	09/20/01		PCT	B08B	7/00		х
	AS 🗸	WO 01/74538 A1	10/11/01		PCT	B24C	1/00		х
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	ΑU	∠WO 01/85391 A2	11/15/01		PCT	B24B			х
	AV.	WO 01/94782 A3	12/13/01		PCT	F04B	43/02		х
	_ AW.	WO 02/16051 A2	02/28/02		PCT_	B05D			х
	AX	WO 03/030219 A2	10/04/03	1	PCT	HOIL			х
			DOCUMENTS (Inclu	ding Author, Title, Da	te, Relevant Pages, Plac	ce of Publication)			
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	BA BA BA BO Agnew, "WILDEN Air-Operated Diaphragm Pumps", Process & Industrial Training Technologies, Inc., 1996.								
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EXAMINER:	Injtj	ial citation considered.	Draw line through ci	tation if not in conform	nance and not considere	ed. Include copy of	this form		

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 1 of 2

FEE TRANSMITTAL

Electronic Version v08

Stylesheet Version v08.0

Title of Invention

METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE

Application Number:

09/704641

09/704641

2000-11-01

First Named Applicant: Maximilian A. Biberger

Attorney Docket Number:

TOTAL FEE AUTHORIZED \$180

Patent fees are subject to annual revisions on or about October 1st of each year.

BASIC FILING FEE

Fee Description	Fee Code	Amount \$	Fee Paid \$
Submission Of Information Disclosure Stmt Fee	1806	180	180

AUTHORIZED BILLING INFORMATION

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10/1/2003

Fee transmittal

Page 2 of 2

Access Code

Deposit name:

Haverstock and Owens LLP

Deposit authorized name: Thomas B. Haverstock

Signature:

/tbh/

Date (YYYYMMDD):

2003-10-01

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

Acknowledgement Receipt Page 1 of 2

UNITED STATES PATENT AND TRADEMARK OFFICE ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1
Stylesheet Version v1.1.1

Title of Invention METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE Submission Type: Information Disclosure Statement Application Number: 09/704641 *09/704641* EFS ID: 48631 Server Response: Confirmation Message Code Submission was successfully submitted - Even if Informational or Warning Messages appear below, ISVR1 please do not resubmit this application ICON1 4503 Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting ISYS5 Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later. First Named Applicant: Maximilian Biberger Attorney Docket Number: Timestamp: 2003-10-01 13:50:59 EDT From:

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10/1/2003

Acknowledgement Receipt

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Page 2 of 2

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Digital Certificate Holder	cn=Thomas B. Haverston	ck,ou=Registered Attorneys,ou=Patent and Tradema	ırk
Name:	Office,ou=Department o	of Commerce,o=U.S. Government,c=US	

TRANSMITTAL Stylesheet Version v1.1.0 Electronic Version v1.1

Title of Invention	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Application Number:	09/704641 *09/704641*
Date:	2000-11-01
First Named Applicant	First Named Applicant: Maximilian A. Biberger
Confirmation Number: Attorney Docket Number:	: 4503 ber:

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Submitted by:	Elec. Sign.	Sign. Capacity
Thomas B. Haverstock	/tbh/	
Registered Number: 32571		Attorney

Documents being submitted	Files
us-fee-sheet	SSI00700A-usfees.xml
	us-fee-sheet.xsl
	us-fee-sheet.dtd
us-ids	SSI00700A-usidst.xml
	us-ids.dtd
	us-ids.xsl
Comments	

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Page 2 of 2

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18 0

Title of Invention	METHOD AND APPARATUS FOR SUPERCRITICAL I WORKPIECE	PROCESSING OF A
Application Numbe	r: 09/704641	*09/704641*
Confirmation Numb	ver: 4503	
First Named Applic	ant: Maximilian Biberger	
Attorney Docket No	mber:	
Search string:	(2625886 or 3744660 or 3968885 or 4245154 or 4355937 o	r
	4367140 or 4406596 or 4422651 or 4522788 or 4549467 or	
	4626509 or 4682937 or 4778356 or 4789077 or 4823976 or	
	4827867 or 4879431 or 5044871 or 5062770 or 5071485 or	
	\$167716 or \$169296 or \$169408 or \$188515 or \$190373 or	

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	2625886	1953-01-20	Browne			
	2	3744660	1973-07-10	Gaines et al.]		ار
	3	3968885	1976-07-13	Hassan et al.]		
\Box	4	4245154	1981-01-13	Uehara et al.]		
	5	4355937	1982-10-26	Mack et al.]		
	6	4367140	1983-01-04	Wilson)		
	7	4406596	1983-09-27	Budde]		
	8	4422651	1983-12-27	Platts]		
	9	4522788	1995-06-11	Sitek et al.	}		
	io	4549467	1985-10-29	Wilden et al.]		
	11	4626509	1986-12-02	Lyman	1		

12	4682937	1987-07-28	Credle, Jr.
13	4778356	1988-10-18	Hicks
14	4789077	1988-12-06	Noe
15	4823976	1989-04-25	White, ill et al.
16	4827867	1989-05-09	Takei et al.
17	4879431	1989-11-07	Bertoncini
18	5044871	1991-09-03	Davis et al.
19	5062770	1991-11-05	Story et al.
20	5071485	1991-12-10	Matthews et al.
21	5167716	1992-12-01	Boltnott et al.
22	5169296	1992-12-08	Wilden
23	5169408	1992-12-08	Biggerstaff et al.
24	5188515	1993-02-23	Horn
25	5190373	1993-03-02	Dickson et al.
26	5191993	1993-03-09	Wanger et al.

Remarks

Note: Remarks are not for responding to an office action.

Non US Patent and Publication references shall be filed under a separate paper transmittal. The current electronic filing contains part 1 out of a total of 4 electronic filings.

Signature

Examiner Name	Date

Acknowledgement Receipt Page 1 of 2

UNITED STATES PATENT AND TRADEMARK OFFICE ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1
Stylesheet Version v1.1.1

Title of Invention	METHOD AND	APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Submission Type:	Information [Disclosure Statement
Application Number:	09/704641	*09/704641*
EFS ID:	48633	
Server Response:	Confirmation Code	Message
	ISVRI	Submission was successfully submitted – Even if informational or Warning Messages appear below, please do not resubmit this application
	ICON1	4503
	ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.
First Named Applicant:	Maximilian Bi	berger
Attorney Docket Number:		
Timestamp:	2003-10-01	13:55:50 EDT
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File Listing:		

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Acknowledgement Receipt

Page 2 of 2

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Page 2 of 2

TRANSMITTAL Stylesheet Version v1.1.0 Electronic Version v1.1

Title of	METHOD AND APP	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A
Invention	WORKPIECE	WORKPIECE
Application Number:	09/704641	*09/704641*

Maximilian A. Biberger First Named Applicant:

2000-11-01

4503 Attorney Docket Number: Confirmation Number:

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Submitted by:	Elec. Sign.	Sign. Capacity
Thomas B. Haverstock	/tbh/	
Registered Number: 32571		Attorney

Documents being submitted	Files
us-ids	SSI00700C-usidst.xml
	us-ids.dtd
	us-ids.xsl
Comments	

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09/704641

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

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Title of	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A
	WORKPIECE

Application Number: 09/704641
Confirmation Number: 4503

First Named Applicant: Maximilian Biberger

Attorney Docket Number:

nber: (5900107 or 5904737 or 5932100 or 5934991 or 5931399 or 5983942 or 6005226 or 6029371 or 6035871 or 6037277 or 6053348 or 6056008 or 6022150 or 6085935 or 6097015 or 6128810 or 6145919 or 6159250 or 6164707 or 6203582 or 6627373 or 6203623 or 6203737 or 6203623 or 6203737 or 6203623 or 6203737 or 6203623 or 6203737 or 6334626 or 644174 or 6388317 or 6338677 or 641855 or 6463624 or 6459450 or 6464750 j.m.

US Patent Documents

Search string:

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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
		5900107	1999-05-04	Murphy et al.	1	_	
	2	5904737	1999-05-18	Preston et al.	1		
	3	5932100	1999-08-03	Yager et al.	1		
	4	5934991	1999-08-10	Rush	i		
	5	5981399	1999-11-09	Kawamura et al.	าี 💮		
	6	5989342	1999-11-23	ikeda et al.	ĺ		
	7	6005226	1999-12-21	Aschner et al.	1		
	8	6029371	2000-02-29	Kamikawa et al.	1		
	9	6035871	2000-03-14	Eul-Yeol	i		
	10	6037277	2000-03-14	Masakara et al.	าี		

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Information Disclosure Statement

Page 3 of 3

Signature	
Examiner Name	Date

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11	6053348	2000-04-25	Morch	
12	6056008	2000-05-02	Adams et al.	7
13	6082150	2000-07-04	Stucker	٦
14	6085935	2000-07-11	Maichow et al.	٦
15	6097015	2000-08-01	McCullough et al.	i
16	6128830	2000-10-10	Bettcher et al.	٦.
17	6145519	2000-11-14	Konishi et al.	٦
18	6159295	2000-12-12	Maskara et al.	7
19	6164297	2000-12-26	Kamikawa	٦
20	6203582	2001-03-20	Berner et al.	B)
21	6216364	2001-04-17	Tanaka et al.	81
22	6239038	2001-05-29	Wen	BI
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24	6251250	2001-06-26	Keigler -	В1
25	6277753	2001-08-21	Mullee et al.	81
26	6286231	2001-09-11	Bergman et al,	61
27	6305677	2001-10-23	Lenz	81
28	6334266	2002-01-01	Moritz et al.	B1
29	6344174	2002-02-05	Miller et al.	BI
30	6388317	2002-05-14	Reese	BI
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32	6418956	2002-07-16	Bloom	B)
33	6436824	2002-08-20	Chool et al.	61
34	6454945	2002-09-24	Weigi et al.	BI
35	6464790	2002-10-15	Shertinsky et al.	B)

Remarks

Note: Remarks are not for responding to an office action.

Non US Patent and Publication references shall be filed under a separate paper transmittal. The current electronic filing contains part 3 out of a total of 4 electronic filings. Fee has been paid in previous electronic filing.

UNITED STATES PATENT AND TRADEMARK OFFICE ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1 Stylesheet Version v1.1.1

Title of Invention	METHOD AND A	PPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Submission Type: Application Number: EFS ID:	Information D 09/704641 48632	visclosure Statement *09/704641*
Server Response:	Confirmation Code	Message
	ISVR1	Submission was successfully submitted – Even if Informational or Warning Messages appear below, please do not resubmit this application
	ICON1	4503
	ISYS5	Filename = N/A BusinessRule = Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.
First Named Applicant:	Maximilian B	iberger
Attorney Docket Number Timestamp:		13:54:18 EDT
From:	us	

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10/1/2003

Acknowledgement Receipt

File Listing:

Page 2 of 2

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us-ids	us-ids.xsl	1202
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package-data	us-package-data.xsl	1926
	Total files size	7540

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Page 2 of 2

TRANSMITTAL Stylesheet Version v1.1.0 Electronic Version v1.1

Title of Invention	METHOD AND AP WORKPIECE	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Application Number: Date:	09/704641	*09/704641*

First Named Applicant: Maximilian A. Biberger

Confirmation Number: 4503

Attorney Docket Number:

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Submitted by:	Elec. Sign.	Sign. Capacity
Thomas B. Haverstock	/tbh/	
Registered Number: 32571		Attorney

_	Documents being submitted	Files
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		us-ids.xsl
	Comments	
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09/704641

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A
Invention	WORKPIECE

Application Number: 09/704641

Confirmation Number: 4503 First Named Applicant: Maximilian Biberger

Attorney Docket Number:

(5195878 or 5213485 or 5221019 or 5222876 or 5224504 or Search string: 5236669 or 5240390 or 5243821 or 5246500 or 5251776 or 5280693 or 5285352 or 5314574 or 5328722 or \$339844 or

5370741 or \$404894 or \$412958 or \$433334 or \$447294 or \$503176 or \$505219 or \$509431 or \$571330 or \$589224 or 5621982 or 5629918 or 5644855 or 5649809 or 5669251 or

5702228 or 5706319 or 5746008).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
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Remarks

Information Disclosure Statement

Note: Remarks are not for responding to an office action.

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Information Disclosure Statement

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UNITED STATES PATENT AND TRADEMARK OFFICE ACKNOWLEDGEMENT RECEIPT

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Title of Invention	METHOD AND	APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Submission Type:	Information D	Disclosure Statement
Application Number:	09/704641	*09/704641*
EFS ID:	48634	
Server Response:	Confirmation Code	Message
	ISVR1	Submission was successfully submitted – Even if Informational or Warning Messages appear below, please do not resubmit this application
	ICON1	4503
	ISYS5	Filename = N/A BusinessRule = Validation System/Function Call Information. #Supporting Msg:Server unable to validate the Confirmaton/Application numbers at this time. They will be checked by PTO personnel later.
First Named Applicant:	Maximilian B	iberger
Attorney Docket Number	er:	
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Title of Invention	METHOD AND APPARATI WORKPIECE	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A WORKPIECE
Application Number:	09/704641	*09/704641*
Date:	2000-11-01	
First Named Applicant	First Named Applicant: Maximilian A. Biberger	

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Thomas B. Haverstock	/tbh/	
Registered Number: 32571		Attorney

-	Documents being submitted	Files
ŝ	us-ids	SSI00700D-usidst.xml
		us-ids.dtd
		us-ids.xsl
<u> </u>	Comments	

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Title of	METHOD AND APPARATUS FOR SUPERCRITICAL PROCESSING OF A
Invention	WORKPIECE

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Application Number: 09/704641

Confirmation Number: 4503

First Named Applicant: Maximilian Biberger

Attorney Docket Number:

Search string: (6521466 or 6541278 or 6546946 or 6550484 or 6558475 or 6561213 or 6561220 or 6561481 or 6561767 or 6564826 or

20020001929).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

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Note: Applicant is not required to submit a paper copy of cited US Published Applications

init Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
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Remarks

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Non US Patent and Publication references shall be filed under a separate paper transmittal. The current electronic filing contains part 4 out of a total of 4 electronic filings. Fee has been paid in previous electronic filings.

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